DEPARTMENT OF EDUCATION
STUDENT FINANCIAL ASSISTANCE

ACCESS CONTROL POLICY AND PROCEDURES

FOR UNION CENTER PLAZA THREE

OCTOBER 31, 2001

UNITED STATES DEPARTMENT OF EDUCATION
STUDENT FINANCIAL ASSISTANCE

I. PURPOSE

This policy is designed to control access into the Department of Education (ED), Student Financial Assistance (SFA) Union Center Plaza III Building (UCP3) and to identify employees, visitors and contractors for authorized access to conduct official government business.

II. POLICY

1. Access into the U.S. Department of Education, Student Financial Assistance facility designated Union Center Plaza will be controlled.

2. The SFA Access Control System will incorporate three elements:

    a. Personnel (Security Officers, receptionists, department managers, and employees)
    b. Physical controls (Locks, keys, Alarms and surveillance)
    c. Administrative controls. (Employee and contractor identification cards and temporary visitor passes.)

3. Visitors: Pre Announced and Unannounced.

    a. Pre announced visitors might be permitted unescorted access after the screening process is completed if requested by their host.

    b. Unannounced and all other visitors must be escorted at all times while on government property.

        Note: Refer to Procedure 3.01 for more details on Visitor Policy.

    c. Law Enforcement: Authorities from any agency who are visiting on other than official law enforcement matters are required to present identification, sign the log and requested to check their weapon into a secure container within the security office.

4. Access procedures for U.S. Department of Education Headquarters Building, UCP-3

    a. Building Security Hours - 6:30 **PM** to 6:30 **AM**, Monday-Friday, Weekends, and Federal Holidays

    b. As a condition of entry all persons requesting entry to UCP-3 shall present an official U.S. Government identification card or may be issued a temporary building pass that is to be worn above the waist and be clearly visible at all times while inside UCP-3.

c. As a condition of entry all persons requesting to entering UCP-3 are required to walk through the metal detector and have their belongings x-rayed. Exceptions may be granted to law enforcement, security or emergency response personnel while on official duty or as otherwisse prescribed in the Security Officer post orders. If not on an official viist the weapon may be placed in a special storage container whose single key may be retained by the officer until ready for departure from the building.

e. As a conditon of entry after hours, weekends and holidays ED, SFA and GSA employees will be required to complete the sign in/out register at Mail Lobby Security Desk in addition to displaying their Card.

f. As a condition of entry, all visitors, whatever their purpose or status will be required to pass through the metal detector and have their belongings x-rayed

g. Announced visitors may be allowed unescorted access after the host is notified they are present in the building and after they pass through the screening process.

h. As a condition of entry all unannounced visitors must sign in/out at Main Lobby Security Desk, be verified by a host, pass through the screening process and be escorted by a Department of ED, SFA or GSA employee.

i. As a condition of entry all employees, contractors, visitors' packages and parcels are subject to inspection upon entry and exit. Failure to permit the search shall bar entry or be the subject of a report to the Federal Police Service for further investigation. In addition, the individual may be barred from any future access to the facility.

III. RESPONSIBILITY

1. Management has determined the level of security for this facility. Department managers and supervisors are charged with the responsibility for implementing and monitoring the level of security for their area, training their employees on the security requirements and notification procedures and recommending changes as required.

2. The Security Department, under the direction of the Department of Education (Building manager) or (SFA Security Director) will be responsible for:

    a. Administration of this policy, assuring consistency of standards.
    b. Administration and maintenance of the access process at lobby and other access control points.
    c. Assisting in the determination of appropriate security levels for specific internal locations as required.
    d. Reporting activity and incidents to management for information and any necessary resolution.

3. The Department of Education, Human Resource Department:

a. This organization is responible for coordinating building and area access clearance for new employees and contractors, and scheduling the appearances of the new employees and contractor for the manufacture of an identification card/Secuirty Card.
b. Coordinating and forwarding requests and digitized photographs for identification cards to the Badging office from employees assigned to regional offices.
c. Establishing procedures for issuing and recovering identification cards, door and office keys from terminating and departing employees and contractors.
d. Processing application forms and clearances for new employees and contractors will be handled by the SFA Human Resources Department at the SFA UCP Building.
e. The appropriate HR representative will complete an identification card request form (Attachment A) for the new employee as part of the welcoming process and obtain all necessary supervisor and or manager authorization signatures as required.
f. This unit will also provide support to all of the regional offices

Employee, Contractor and Visitor Responsibilities:

Security in the workplace can only be accomplished through the active cooperation of all employees. This could include being aware of usual and unusual conditions in the workplace. Greeting and assisting visitors in their area or escorting them to their proper destination. Reporting the presence of strangers, behaviors that seem out of place, unusual events, activities, or incidents to their supervisors and to security.

Responsibility of host

The person authorizing a visit should notify security in advance of the names of the approved visitors, the areas (s) to which the visitors may go and identify the responsible manager.

Responsibilities of employees, contractors and escorts

1. Visitors must be escorted at all times.

2. Employees who escort visitors must ensure that:

   a. The visitor wears his identification Card in a visible position at all times.

   b. The visitor is not permitted access to proprietary information unless they have signed a Non-Disclosure Agreement. (See Exhibit 2)

   c. The visitor is not conducted into any restricted areas without proper approval.

   d. The visitor is accompanied to the security station at the end of his visit to return the Card and sign out.

e. Admittance to areas containing privacy information or government-classified material will be controlled by the protection of information regulations and appropriate government security regulations. The Security Office should be contacted in advance of the visit for needed assistance.

IV. PROCEDURES

1. Normal work hours – 6:30 AM to 6:30 PM Monday through Friday

2. Employees or contractors, who possess Department of Education or General Services Administration government building passes may be granted access to UCP-3.

   a. Employees and contractors will be required to pass through the metal detector and have their belongings x-rayed as a condition of entry

3. Visits

   a. Official U.S. Government Visitors **-** Persons who present other valid building passes or U.S. Government Identification cards may also be granted access.

   b. They shall complete the sign in/out register and will be issued a temporary visitors pass that must be worn above the waist and clearly visible at all times while inside UCP-3.

   c. All Official U.S. Government visitors will be required to pass through the metal detector and have their belongings x-rayed as a condition of entry.

   d. Other Visitors:

      1.) Visitiors shall all have an established point of contact (Host) that is physically present in the building at the time of the visit.

      2.) The Security Officer will call the building Host to announce the visitor has arrived.

      3.) Unless the Host has previously announced the visitor as part of a Group Visit in writing prior to the visit and requested that the visitor(s) be allowed unescorted entry, the building Host or representative will be required to respond to the Main Lobby entrance to greet, sign in and escort the visitor(s).

      4.) All visitors must produce some official form of photographic identification (unless under 16 years of age), preferably a valid state driver's license.

      5.) All visitors must pass through the metal detector and have their belongings x-rayed as a condition of entry. Visitors will be issued a temporary visitors pass that must be worn above the waist and be clearly visible at all times while inside UCP-3.

   e. Group Visits- Except for access to the Confenece Center and designated restricted areas:

1.) The Principal Office Executive Officer or designee shall submit written request to the SFA Security Office (Office of Management, Attention Quality Workplace Group,) at least 24-hours prior to the visit.

2.) All request shall include a name roster of the visitors, company or business, purpose of visit, specify the location of entry, the location of the visit, and the name and telephone number of the Host escort person.

3.) All visitors must produce some official form of identification (unless under 16 years of age), preferably a valid state driver's license.

4.) All visitors must pass through the metal detector and have their belongings x-rayed as a condition of entry.

5.) Visitors will be issued a temporary visitors pass that must be worn above the waist and be clearly visible.

6.) Any specific access arrangements or exceptions will be pre coordinated with the requesting office and SFA Security staff.

4. **Deliveries**

a. All deliveries including, but not limited to, courier mail and packages, parcels, bags, and equipment will be inspected prior to entry into the SFA Home Office building by uniformed Security Officers or FPS Police Officers.

b. Security Officers/FPS/Officers will also ensure that government property is not removed from the building without proper approval.

c. Express and courier mail and packages, parcels, and bags will be taken to the SFA UCP3 mail room after completing the screening process. The Department of Education QWG personnel responsible for mail delivery will log deliveries, sign as required and deliver according to their operating procedures.

d. **Messengers/Couriers**

1.) Deliveries - All deliveries including, but not limited to, courier mail and Packages, parcels, bags, and equipment will be inspected prior to entry into the SFA headquarters building by uniformed Security Officers or FPS Police Officers. Security Officers/FPS/Officers will also ensure that government property is not removed from the building without proper approval.

2.) Messenger and couriers and others shall not be allowed access to the building and shall have an established Host respond to the entrance for the delivery. The host may request the messenger or courier to assist them with delivery to their work area but must escort them at all times within the building and back to the lobby or dock area.

3.) If the Host is not available the SFA Mail Room staff will be contacted to accept or deny delivery of the package or item.

4.) All hand carried items to be delivered will be x-rayed prior to being transported into the building. This activity may be waived for deliveries pre screened at the central Department of Educaiton receiving location.

5.) Major delivery services such as USPS, UPS, FedEx, etc shall be allowed building access after being properly identified and screened by the Security or FPS Officer and being loged in on appropriate security forms.

6.) Minimum requirements for screening include:

a.) All packages delivered by a messenger or courier sevice will be screed through an X-Ray device.

b.) Messengers will be requred to pass through the magnetomer as a condition of entry.

7.) Delivery to the Lobby.

a.) After screening, the addressee will be called by the security officer and requested to pick up the delivery at the securiy desk.

b.) If this action cannot be accomplishd a secuirty officer will escort the messenger to the mail room along with the screened package.

8.) Delviery at the loading dock.

a.) After screening the messenger may be permitted to enter the building and be escorted to the mail room by a security officer of mail room employee.

b.) After the delivery the messenger shall be excorted to the loading dock by the securiyt officer or mail room employee.

5. Garage/Loading Dock

a. Access to the SFA UCP-3 Headquarters garage and loading dock areas do constitute admittance to SFA UCP-3 and both are not a pedestrian entrance or exit.

b. All persons authorized to park in the garage and delivery areas will be screened prior to being admitted to the building.

c. Persons entering via the Garage will be screened in the main lobby. The same procedures used for access at the primary building entrances will be used.

d. Person entering via the loading dock will be screed at the loading dock entrance prior to entry to the building. The same access procedures used for access to the primary building entrances will be used. In the absence of appropriate screening devises and if activity in the delivery area do not permit the departure of the security officer the individual messenger, courier or other person will be directed to enter the building at the front entrance. If activity permits the security officer may escort the person to the lobby for screening.

6. Parking Garage Access.

a. Parking authority is only granted by the OM, Quality Workplance Group (QWG), Operation, Parking Management office. As changes occur Parking Management will advise HR and Security in writing to add or remove parking authroity.

1. **SFA Campus Smart Card Security / Indentificaion Card**

   a. Employee SFA Campus Smart Card Security Card: The SFA Campus Smart Card Security Card System is a key part of SFA's access control and is a supplement to the Department of Education's Identification Card. The following Identification and Security Cards are currently in general use:

      1.) Department of Education Identification Cards and SFA Campus Security Smart Cards are issued to active employees and approved contractors.

      2.) Employee Department of Education Identification Cards

         a. Department of Education Identification Cards must be issued to all newly hired SFA employees during their first week at work.

         b. The Department of Education Human Resources Director is responsible for issuing the Department's Identification Card using existing protocols described elsewhere.

      3.) Employee SFA Campus Security Smart Card

         a.) An Employee SFA Campus Security Smart Card must be issued to all newly hired SFA employees during their first week at work.

         b.) The Department of Education Human Resources Director is responsible for the accurate completion of the SFA Campus Security Smart Card Authorization form and securing the necessary time and area access authorization approval signatures**.**

         c.) This form requires the same information contained on the Department of Education Identification Card including but not limited to the employee's name, card number, including the designation that the applicant is an employee or contractor, date of expiration of the badge or contract, unique card number and specific information related to the work location, supervisor and managers name, address and telephone number.

         d.) If applicable, where the employee is assigned authorization for after normal hour access to parking, or to restricted areas, the authorizing supervisor and the manager's signature is also required.

      2.) Contractor's SFA Campus Security Smart Card:

         a.) The Contract must first obtain a Department of Education Identification Card. The sponsor for the contractor shall contact SFA's HR Department for appropriate documents and current procedures to follow.

b.) The Contractor SFA Campus Security Smart Cards are issued to personnel who are not employees but provide a contracted service to SFA with a continuing daily and/or frequent need to enter the SFA facility. This would include being assigned office space within the Union Center Plaza 3 or other location for the convenience of SFA. Consultants, machine servicemen, regular delivery person, food and vending machine personnel are examples of the types of personnel who may be issued a SFA Campus Security Card. Smart

c.) To obtain a Contractor SFA Campus Security Smart Card Identification Card, the sponsoring department manager must complete the SFA Campus Security Smart Card Application form from SFA's Security or Human Resource department or may make and use a copy of the sample form found in attachment 1 of this document. In addtion to the items listed on the Attachment I, the form will require the following data:

(1). Contractor's company name
(2). Company office address
(3). Telephone number,
(4). The contractor's personal home address and phone number,
(5). Approximate duration of the contract.
(6). In addition, the following requirements must be met:

(a). As required by the Department of Education a non-disclosure agreement must be signed by the contracting firm or if individually contracted, by the individual.

(b). Provided a full set of Background Investigation forms including Fingerprint cards. Originals or copies of information provided will be held on file in both the personnel and security office.

(c). As required, satisfactory completion of a background investigation.

b. SFA Campus Security Smart Card Color Coding

All SFA Campus Smart Card Security Cards will appear alike except for the background color of the person photograph. The intent is to eventually provide a red background to visually identify SFA employees and a yellow background for contractors. However, during he initial Card issue process of the new SFA Campus Smart Card digitized photographs from the existing GSA master files were used to expedite the issue process. The majority of these files contained photographs with red backgrounds.

Exhibit 1: Department of Education, SFA Campus Smart Card Security Card Application Form.

Exhibit 2: Sample of the nondisclosure agreement used for self-employed consultants or contractors.

Exhibit 3: Agreement used for employees of other companies.

Exhibit 4: Example of the background verification package, including fingerprint card.

7. Obtaining a card:

a. **SFA Campus Smart Card Secuity and Identification Card Issuing Locations:**

1). The Department of Education Identificaiton Card issuing facility is maintained on the second floor of the Department's Headquarters Building FP6. The hours of operation and issuing procedures are listed elsewhere. Contact Human Resourse for current badge scheduling informtion.

2). The SFA Campus Smart Card issuing facility will be maintained at the security office on the first floor of the UCP3. In addition other locations may be established at regional offices for the purpose of obtaining employee and contractor photographs for processing into the final SFA Campus Smart Card Security Card.

3). All employees will be issued an Employee Identification Card at the time and locations established by the Department of Education.

b. **New Hires and transferred employees.**

1). These categories of employees will be issued a photo identification SFA Campus Smart Card during their initial orientation.

c. **Regional office Employees**

1). This catigory of employee may be tenant within another Government Agencys facility, and as such may be required to carry the identificaiton media of that organization. Initially, such employees will be issued a standard Department of Education photo identification card by the QWG HR Department. Employees may use this identification card as a primary or secondary identificaiton at their place of work until an appropriate SFA Campus Smart Card can be issued.

2). Employees planning to visit the SFA UCP Building from regional offices should notify the security office in advance of their travel and bring their current identification card.

3). In support of this procedure, management of regional facilities shall establish a method to obtain and supply a digital photograph of the employee to the UCP Security Office where the card will be printed. The completed card will be mailed to the Regional office for delivery to the employee.

8. Visitor's and Employee Temporary Identification Cards

a. Government Visitors.

b. Government visitors will be permitted to use their existing identification Card for access into the Department of Education SFA UCP3 facility. If the identification card cannot be worn a temporary identification card will be required.

c. Employees who forget, lose or damage their identification must sign in daily for temporary cards until a new card is authorized for issue. The minimum waiting period will be two weeks.

d. The temporary card permits the employee the same access rights as the permanent employee card except that is cannot be used to access electronically controlled doors or elevators after normal business hours or on weekends and holidays.

e. The temporary card cannot be used for access into the Metro system or for smart Benefits.

f. Others limitations may occur from time to time as the services provided by the SFA Campus Smart Card are expanded. If such access is required, arrangements must be made with the security office for issue of a special limited access SFA Campus Smart Card.

g. Temporary cards are issued only to employees for one of the following reasons:

1.) The employee has lost his card or the card has been damaged and a replacement has not yet been issued. (See Lost Card)

2.) The employee has forgotten his or her card.

3.) The employee is a new employee and a permanent card has not yet been issued.

4.) The employee is visiting the SFA facility from another location and does not have a permanent Card in his or her possession.

c. Group or Tours –

1). A "Request for Authorization for Visits" form must be prepared to obtain approval for a group tour of other than business visitors. The request should be coordinated and approved by SFA COO. The request should state the purpose of the visit and proposed date. The completed and request must be sent to the SFA Security Office before the visit. The approval, providing the conditions and limitations of the visit, will be sent to the requester.

2). The requester must provide a copy of the approved visit request to SFA Security at least 24 hours before the scheduled visit.

d. Other Visitors

1. Visitors are those persons who are not employees, retired employee service or contract personnel. Visitors to facilities must be at least 16 years of age unless they are children of employees. (Children of employees are allowed to enter only general office areas of the building when accompanied by the employee).

2. Business Visitors

a. Visits by suppliers, customers and other business visitors require they sign in and out at the lobby security desk. Each visitor will be issued a visitor card after registering. The Temporary card must be displayed at all times.

3. Political Candidates - The established policy prohibits tours of organization facilities by political candidates for any type of campaigning. A candidate who wishes to meet or address Department of Education SFA employees may appear on public property surrounding Department of Education SFA facilities.

4. Nationals of Communist Block Countries - The Department of Education Security Officer must be notified by the host of any planned visit by nationals of Communist Block countries at least two weeks in advance. These visitors will sign in and out on separate control logs.

5. **Open House –**

An open house, dedication, or similar function requires the approval SFA Management. Normal local safety requirements may not be waived if alternate safety procedures are established.

9. Lost, Stolen or Damaged SFA Campus Smart Card Identification Cards:

a. All lost Cards must be reported immediately to the security office that issued the Card.

1) Employees or Contractors who lose their identification Card are required to report the loss immediately to their supervisor, the personnel department, and the Security office for their location.

2) There is a mandatory two-week waiting period before a new Card can be processed. The waiting period starts the day the loss is reported to the Personnel or Security office. During this period, the employee and/or contractor will be required to sign for a temporary Card on a daily basis at the lobby security reception desk.

3) The security officer will require photographic identification to assist in verifying that the requester has valid approved access. The security officer will also use the SFA Campus Smart Card Computer system or contact the responsible supervisor or manager in this process. If the identity of the requester cannot be verified by computer, or by a known member of management access will be denied.

4) For each Card reported lost the employee's or contractors sponsoring SFA department budget will be debited $20.00. The Personnel department shall process the necessary forms to accomplish the debit. A credit will not be applied to the account even if the Card is subsequently recovered.

10. SFA Campus Smart Card Identification Reissue Procedure

a. Service, Contractor and/or Retired Personnel

1) Service, Contractor and Retired personnel who lose their SFA Campus Smart Card identification Cards must report the loss immediately. There is a mandatory two-week waiting period before a new SFA Campus Smart Card identification Card can be issued. During this period, they will be treated as visitors. If, after two weeks, the SFA Campus Smart Card identification Card has not been found, then they must follow the procedure outlined on pages 1 and 2 of this procedure for securing a new SFA Campus Smart Card identification Card.

2) If, after two weeks, the original SFA Campus Smart Card identification Card has not been recovered, the employee or contractor must call the SFA Personnel office and request an appointment to be photographed. Before the appointment, the employee must complete a new SFA Campus Smart Card identification Card request form and obtain all the necessary approval signatures.

3) On or before the day the photographs are to be taken, the employee must ensure that the completed SFA Campus Smart Card identification Card Request form is delivered to the personnel. If all information is complete and satisfactory the personnel department shall at their discretion approve the form. The form may be sent to the badging location at any time prior to the

appointment or may the applicant may bring the completed application to the badging office.

b. Mutilated SFA Campus Smart Card Identification Reissue Procedure

1) If a Card becomes unusable for any reason, it should be returned to the office that issued the Card.
2) If there are no changes in the Card information, and the identification can be verified on the mutilated Card, a new one will be issued without delay.
3) If verification is not possible, then the steps outlined under LOST Card must be followed.

c. Changes in Card information

1) Any changes in the information printed on the SFA Campus Smart Card identification Card require a new Card. Any change within the SFA Campus Smart Card identification Card, such as the addition or removal of access authority requires change in the programming. Changes in SFA Campus Smart Card identification Card data occur most frequently due to job transfers.

2) If a new SFA Campus Smart Card identification Card is required, follow the procedure described under LOST CARD. Note that there is no waiting period. Changes to SFA Campus Smart Card identification Card data can be done with the approval of the supervisor, manager and SFA personnel.

d. Terminations For Any Reason:

1) All employees and contractor personnel are required to return their SFA Campus Smart Card identification Card, (also SFA Campus Smart Card identification Cards in region locations) keys and any other company property in their possession before terminating their employment.

2) Although HR has primary responsibility for collecting SFA Campus Smart Cards, Identification cards, keys, credit cards and other government property as part of the out processing procedure, the supervisor, and security are all responsible for securing the return of government property.

3) If the termination is for cause,[1] any manager within the Department of Education's Human Resource organization will notify security immediately identifying the employee or contractor and request that all access via the SFA Campus Smart Card system be terminated. This request may be by memorandum, e-mail, or by oral communication. For the record, and within twenty-four hours of their request, the Director of Human Resource

[1] Terminations: (Perminetn or Temporary) Self initiated, transfers, terminations for cause i.e. violance, dishonesty, violations of rules, etc.

Department will follow their oral communication to terminate with a formal written request

4) If there is a threat or other cause, concern or a possibility of danger or physical harm, HR will notify security and request the immediate termination of all access authority. HR will follow up with a written request as indicated in d.1) above

5) Department of Education Security will act immediately upon any oral or written request from HR to terminate access.

e. **Security Breaches:**

Any employee, contractor or visitor involved in any of the activities listed below will be considered as being involved in a security breach. Such behavior is intolerable and is grounds for the immediate revocation of the issued identification card and SFA Campus Smart Card Security Card. An employee or contractor must surrender the card upon the request of any member of management of the Department of Education or SFA.

1.) Attempted or actual unauthorized entry into a Department of Education facility.

2.) Theft of and/or unauthorized removal of Government property from the facility.

3.) Unauthorized access and use of parking facilities.

4.) Allowing another person to use an employee or contractor identification Card or Security Card without approval.

5.) Fighting, threatening or any act of violence against another person.

6.) Conviction of a felony.

GOVERNMENT AGENCIES VISITS TO ORGANIZATION PREMISES

Each location must establish a procedure to assure that visits by government agents are properly handled. Whenever an individual representing to be an agent (e.g., inspector) for any government agency calls, the following actions should be included in your plan:

1. Request proper identification

2. Notify the facility security representative immediately

3. Request the agent to sign-in on a separate control log maintained for **that purpose**

4. If the individual requests to see a particular employee in a plant, that person should be contacted and instructed to come to the security station.

The following is a list of some of the agencies that may visit facilities:

1. Department of Labor
2. Occupational Safety & Health Administration
3. Fair Employment Practices Commission
4. Wage and Hour Administration
5. Commission on Civil Rights
6. OSHA (Occupational Safety and Health Act)
7. Town Police Officers, State Police Officers,
8. Sheriffs, Deputies, Constables, or the Government Agencies

Legal Document Service

Refer to Procedure 3.06 for instructions to follow when representatives of the government wish to serve a legal document (summons, warrant, subpoena) to the organization, an employee, contractor or visitor.

Legal Document Service

To properly handle subpoenas, summonses and warrants being delivered to SFA employees, or to the organization in the most expeditious manner, headquarters and regional offices must develop a procedure that includes the points detailed below.

NOTE: Regional facilities will establish appropriate procedures for their jurisdiction.

1. In the event process server or law enforcement official enters an SFA government facility with a subpoena, summons or any warrant, the Security Officer or receptionist will notify the facility Security Representative.

2. Neither Security Officer's nor receptionist WILL accept service of any subpoenas, summonses or warrants.

Warrant For Arrest

After notification that a warrant for arrest of an SFA employee is to be served, the **Security** officer will:

1. Ask the court/law enforcement officer if the subject can be requested to respond the security office.

2. Notify the security Director SFA / Department of Education, employee's supervisor, Human Resources, Federal Police Service.

3. If the officer does not want the subject to be notified or brought to the security office, escort must be provided, but do not interfere with the arrest

Restricted Areas

Employees and holders of contract Cards are entitled to great freedom of movement. Both employee and service Cards include area authorization data. Generally, these personnel are granted unescorted access to restricted or special project areas where they have a daily or frequent need to enter (i.e., entry to

"Restricted" areas are areas that require high security and limited access. Unescorted access is limited to employees, and contractor personnel who are assigned to work in these designated areas or who have a daily and frequent need to enter the area and have completed the background Investigation process. Interim access may be granted if the COTAR determines that access is required prior to completion of the background investigation

The department manager must approve the entry of all personnel who are not assigned to work in the restricted area.

Employees, service and contractor personnel who have an infrequent need to enter the area as well as visitors may be permitted access with escort only, based upon prior approval of the areas manager and COTAR.

Visitors must always be escorted and may enter restricted areas only if the area manager has given his approval.

Special Project Areas

Special project areas will normally be high security, limited access, restricted areas of temporary or short-range duration. Restricted area access authorization requirements apply.

Closed Area

Closed areas are those to which entrance is limited due to the nature of work being performed

PERSONNEL IDENTIFICATION AND AREA ACCESS

All personnel must display an identification Card at all times while on government property. These Cards must have a code (numerical code strip or alpha symbols, for example) that designates the areas (facility and building) that the holder is authorized to enter.

It is the responsibility of each area manager to ensure that only appropriate personnel gain access to his area. If a problem arises, area managers are also required to alert other managers who might become involved.

The following are the rules for area access including our visitor policy:

SMART BENEFITS PROGRAM

Initial Issue ***(This section will be removed after the move)***

- *SFA HR will provide the list of SmartBenefits people to the Move Coordinators so that the Move Coordinators don't have to worry about giving Cards to/contacting these employees. Innovations will help put the list in the format needed*.

SmarTrip Forms

- Each employee is required to complete a SmarTrip Registration form. This form will register the employee's smart card with WMATA (Metro) so that if the card is lost or stolen, it can be deactivated (to prevent someone else from using the card). Registering the card will also help Metro offer customer service for issues with using the card for transit.

- *Employees will complete the SmarTrip Registration form when they get their new Card. (Initial Issue: the Move Coordinator (the form cannot be filled out earlier since the employee needs their serial number off the smart card to complete the form).* Innovations will provide instructions for the Move Coordinators and copies of the SmarTrip Registration Form to SFA HR. SFA HR will provide the forms and instructions to the Move Coordinators when they are given the Cards.)

Smart Card Access Application

- The WMATA SmarTrip Registration Form reference block will be removed from the employee section of the form. Instead, it will be two check box items for SFA HR when an employee turns in their form to (1) verify the form is completed and (2) to show if an employee qualifies as disabled/senior citizen (these employees will be issued special Cards that deduct Metro fares at a reduced rate.

- The Smart Card Access Application is being completed for only those employees who need pictures.

DRAFT VISIT NOTIFICATION MEMO

MEMO:

To: SFA Security

From: Title: Organization:

Subject: Visit Notification

Dates of Visit: From: _____ To: _____

Name of Host: _____ Telephone Ext. _____

Alternate Contact: Name:_____ Telephone Ext. _____

Host Location: Floor:_____ Office/Conference Room Number:_____
Or
Location if Different: Floor:_____ Office/Conference Room Number:_____

Name of Visitors (List as required)

	Print Full Name	**Organization or Company**
1.		
2.		
3.		
4.		

For Office Use Only:
Escort is required: ☐ No ☐ Yes
Host Called ☐ Yes ☐ No Date _____ Time:_____ By:_____
Escort Provided by Host: ☐ Yes ☐ No

ACCESS POINTS

Daytime Hours are currently defined as 6:30 AM to 6:30PM Monday thru Friday
Security Hours are currently defined as 6:30 PM to 6:30 AM Monday thru Monday and Includes Weekends.

Access Authorities

Global - All readers - all floors 24hr/7 days
Turnstiles - 24 hours
All Elevators - All Floors (Security hours only)
Includes elevator call and floor select buttons.

Freight Elevator - All Floors –
CNN Lobby Door - Off Daytime Only
On Security Hours
Conference Room Rear Door
On 24 Hours
Parking Ramp Gate and Overhead Door
On 24 Hours
(Requires Approval from QWG Parking Control Office)
Elevator lobby door – (Mail Room Side)
In to Elevator Lobby Always
Out to Dock Security Hours
Elevator lobby door (ATM Side) –
In to elevator lobby Always
Out not required

Security Areas

Security Processing Room (SPR)	On 24 Hours
Computer Room 9th floor	On 24 Hours
Security Supervisor Badge room	On 24 Hours
Mail Room	On 24 Hours
Security Equipment Room	On 24 Hours
Security Area Double Doors	On 24 Hours
Mail Room Single Door	On 24 Hours
Mail Room Double Doors	On 24 Hours
LAN Room near ATM machine	On 24 Hours

Subject: Access Control Policy for UCP 3

U.S. Department of Education
Student Financial Assistance
Union Center Plaza Building

SMARTCARD ACCESS APPLICATION FORM

☐ **Employee** ☐ **Contractor** ☐ **Other**

ALL INFORMATION MUST BE COMPLETED OR CARD WILL NOT BE ACTIVATED (Print or Type Only)			
1. Name (Last, First, M.I.)		2. Social Security Number	3. UCP3 Location No. (if Known)
4. Position Title:			
5. Agency / Vendor (ED, Company Name)		6. Room #	7. Office Telephone ( )
8. Supervisor's Name (Print)	9. Supervisor's Title	10. Supervisor's Telephone	11. Supervisor's Building & Room Number
12. Manager's Name (Print)	13. Manager's Title	14. Manager's Telephone	15. Manager's Building & Room Number

ACCESS REQUIRED (Please check ✓ all that apply. Areas identified with * require Area/Security Manager authorization & justification.)

1. M-F Only 6:30 AM to 6:30 PM ___ (Requires only Supv. approval)	5. Parking Garage (for bicycle)*___
2. Weekends 6:30 AM to 6:30 PM*___	6. Mail room*___
3. M-F After 6:30 PM*___	7. Computer Area*___
4. Parking Garage (for automobile- permit req'd.)*___	8. Security Areas (Please specify below)*___

ACCESS AUTHORIZATION

Supervisor's ** Signature & Date	**Area Manager's ** Signature & Date**	**Security Manager's ** Signature & Date**

Justification for Special Access:

****Manager Certification**: By authorizing the above designated building access, I acknowledge that the terms of this employee's contract or employment require daily to frequent access to the specified areas of UCP and confirm that all minimum security clearance requirements as specified in the employee's contract have been met .

EMPLOYEE CARD RECEIPT ACKNOWLEDGEMENT

Employee Signature_____ Date: _____
I certify the accuracy of the above information and acknowledge that this card is property of the U.S. Department of Education and agree to return the card upon termination of my employment or contract with Student Financial Assistance.

Human Resources Office
Approval:_____ Date: _____

WMATA Smart Trip Registration form is completed (Check ✓ as Applicable)

a. **YES.** Form is Completed. Attach Form.___	c. Handicapped/ SR (Optional)___
b. **NO**. If No, badge will not be issued.___	

UNITED STATES DEPARTMENT OF EDUCATION
STUDENT FINANCIAL ASSISTANCE
Security Management Guidelines

Subject: Access Control Policy for UCP 3

For Office Use Only

Card Number:	Date Issued:	Issued By:
Comment:		

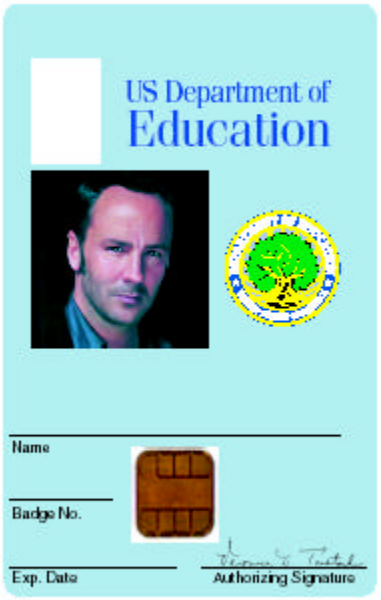
	Yes ✓	NO ✓	Reason for Replacement	✓
New Issue			Lost***	
Replacement			Stolen	
			Damaged	
			Other	

***Notice:** For each lost identification card a fee of $20 will be applied to the departments account.

PRIVACY ACT STATEMENT Section 6311 of Title 5 to the U.S. Code authorizes collection of this information. The primary use of this information is for management to approve and record the issue to you of a key card that will give you access to designated entrances at the SFA Union Center Plaza Building. Disclosure of the information provided may be made to authorized Federal Government agencies, to Federal Life Insurance or Health Benefit carriers regarding a claim; and to Federal, State or local law enforcement agencies when SFA becomes aware of a violation or possible violation of criminal law. Furnishing your Social Security Number on this form, as authorized by Executive Order 9397, is voluntary. However, failure to do so may result in disapproval of this request

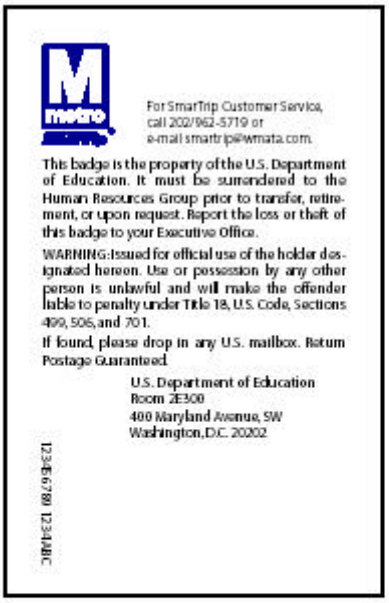
SFA CAMPUS SECURITY SMART CARD

FRONT VIEW



SFA CAMPUS SECURITY SMART CARD

BACK VIEW



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